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| <b>TRANSMITTAL LETTER TO THE UNITED STATES<br/>DESIGNATED/ELECTED OFFICE (DO/EO/US)<br/>CONCERNING A SUBMISSION UNDER 35 U.S.C. 371</b>                               |  | ATTORNEY'S DOCKET NUMBER<br>03108/0202224-US0                       |
| INTERNATIONAL APPLICATION NO.<br>PCT/IN03/00223   |  | U.S. APPLICATION NO. (If known, see 37 CFR 1.5)<br><b>10/518612</b> |
| INTERNATIONAL FILING DATE<br>19 June 2003   |  | PRIORITY DATE CLAIMED<br>21 June 2002                               |
| TITLE OF INVENTION NOVEL TETRACYCLIC ARYLCARBONYL INDOLES HAVING SEROTONIN RECEPTOR AFFINITY<br>USEFUL AS THERAPEUTIC AGENTS, PROCESS FOR THEIR PREPARATION AND, etc. |  |   |
| APPLICANT(S) FOR DO/EO/US Venkateswarlu Jasti et al.  |  |   |

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a submission under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a submission under 35 U.S.C. 371.
3. ☐ This is an express request to begin national examination procedures (35 U.S.C. 371 (f)). The submission must include items (5), (6), (9) and (21) indicated below.
4. ☐ The US has been elected (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371 (c)(2))
  - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
  - b. ☒ has been communicated by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ An English language translation of the International Application as filed (35 U.S.C. 371 (c)(2)).
  - a. ☐ is attached hereto.
  - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
  - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
  - b. ☒ have been communicated by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☐ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371 (c)(3)).
9. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
10. ☐ An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).

**Items 11 to 20 below concern document(s) or information included:**

11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☐ A preliminary amendment.
14. ☒ An Application Data Sheet under 37 CFR 1.76.
15. ☐ A substitute specification.
16. ☐ A power of attorney and/or change of address letter.
17. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821 - 1.825.
18. ☐ A second copy of the published International Application under 35 U.S.C. 154(d)(4).
19. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
20. ☒ Other items or information: Affirmation of Priority Claim and a copy of PCT/IB/304  
 A copy of the International Preliminary Examination Report and amended sheets  
 Return Receipt Postcard

PTO-1390 (Rev. 12-2004)

Approved for use through 03/31/2007. OMB 0651-0021  
U. S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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21. The following fees are submitted:

|                                      |                             |          |    |                 |
|--------------------------------------|-----------------------------|----------|----|-----------------|
| <input checked="" type="checkbox"/>  | a) Basic national fee ..... | \$300.00 | \$ | 300.00          |
| <input checked="" type="checkbox"/>  | b) Examination fee .....    | \$200.00 | \$ | 200.00          |
| <input checked="" type="checkbox"/>  | c) Search fee .....         | \$500.00 | \$ | 500.00          |
| <b>TOTAL OF ABOVE CALCULATIONS =</b> |                             |          | \$ | <b>1,000.00</b> |

☐ Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing or computer program listing filed in an electronic medium). The fee is \$250 for each additional 50 sheets of paper or fraction thereof.

| Total Sheets | Extra sheets | Number of each additional 50 or fraction thereof (round up to a whole number) | RATE       |
|--------------|--------------|---|------------|
| 62 - 100 =   | /50 =        |   | x \$250.00 |

Surcharge of \$130.00 for furnishing the oath or declaration later than 30 months from the earliest claimed priority date (37 CFR 1.492 (e)).

| CLAIMS                                      | NUMBER FILED | NUMBER EXTRA | RATE            |
|---|--------------|--------------|-----------------|
| Total claims                                | 22 - 20 =    | 2            | x 50.00         |
| Independent claims                          | 4 - 3 =      | 1            | x 200.00        |
| MULTIPLE DEPENDENT CLAIM(s) (if applicable) |              |              | +               |
| <b>TOTAL OF ABOVE CALCULATIONS =</b>        |              |              | <b>1,300.00</b> |

☐ Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.

**SUBTOTAL =**

Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492 (f)).

**TOTAL NATIONAL FEE =**

Fee for recording the enclosed assignment (37 CFR 1.21 (h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property

**TOTAL FEES ENCLOSED =**

|  |                        |    |
|--|------------------------|----|
|  | Amount to be refunded: | \$ |
|  | Amount to be charged:  | \$ |

a. ☒ A check in the amount of \$ 1,300.00 to cover the above fees is enclosed.

b. ☐ Please charge my Deposit Account No. \_\_\_\_\_ in the amount of \$ \_\_\_\_\_ to cover the above fees. A duplicate copy of this sheet is enclosed.

c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 04-0100. A duplicate copy of this sheet is enclosed.

d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. **Credit card information should not be included on this form.** Provide credit card information and authorization on PTO-2038.

**NOTE:** Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137 (a) or (b)) must be filed and granted to restore the International Application to pending status.

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| SEND ALL CORRESPONDENCE TO:<br>Adda C. Gogoris<br>DARBY & DARBY P.C.<br>P.O. Box 5257<br>New York, New York 10150-5257<br>(212) 527-7727<br>CUSTOMER NUMBER: 07278 | <div style="text-align: right; margin-bottom: 10px;"> </div> SIGNATURE: Sandra S. Lee<br>NAME: _____<br>REGISTRATION NUMBER: 51,932 |
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